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| <b>5-6</b>                              | <b>Provider Policy and Records</b> | <b>Part 1 of 2</b>           |
| <b>Authorizing Utah Code: 62a-5-103</b> | <b>Rule: R539-5-3</b>              | <b>Provider Requirements</b> |
| <b>Approved: 2/10/00</b>                | <b>Rule Effective:</b>             | <b>Printed: 5/02</b>         |
| <b>Form(s): 1-6, 520 and 1032</b>       | <b>Guideline(s): None</b>          |                              |

## POLICY

**Providers** shall set up written policies which include a description of the supports to be offered, mission statement, objectives and the population to be served. The **Provider** will comply with the **Division** and **Department's** Office of Licensing policy and record requirements.

## PROCEDURES

1. The **Provider** shall maintain service records that include the following information:
  - A. name and address of the facility and owner or sponsoring agency;
  - B. agency or corporate organizational chart including names of consultants and employees in leadership positions;
  - C. job descriptions for all personnel, including volunteers, with ongoing involvement;
  - D. policy specifying the amount of time family or friends may stay as overnight guests; (**Self-Directed Corporations** are exempt from this requirement.)
  - E. grievance procedures for **Persons** receiving services;
  - F. documentation signed by the **Person/Representative** that a copy of the grievance procedure was given, read and explained to each **Person/Representative**;
  - G. name, phone number and address of the **Support Coordinator**. The **Provider** should make contacting the **Support Coordinator** accessible to the **Person** receiving supports; (**Self-Directed Corporations** are exempt from this requirement.)
  - H. financial policy regarding management of the finances of the **Persons** receiving services, room and board charges, and food stamps consistent with Administrative Rule R539-5-2.A. The policy must ensure that all personal funds managed by the **Provider** are released at the time of discharge, or upon request to the **Person/Representative** after outstanding bills are paid;
  - I. a written agreement signed by the **Person/Representative** which specifies in advance the fees, absenteeism, vacations, leave policy, extra costs charged for care and services, obligations concerning payment of such charges and the **Provider's** refund policy; (**Self-Directed Corporations** are exempt from this requirement.)
  - J. documentation that the **Provider** assisted the **Person** to apply for unearned income benefits including food stamp benefits;
  - K. documentation that the **Provider** properly received, disbursed and used food stamps to supplement food costs;
  - L. documentation that the **Provider** received all service fees from the **Protective Payee**;
  - M. documentation signed by the **Person/Representative** containing all information required in **Division** Policy 1-3, Procedure 2C and 2G;
  - N. emergency procedures for injury, illness, and death of a **Person** receiving services, that are readily accessible in the facility. These procedures shall include instructions on when to notify the **Legal Representative**, **Division** and **Region Offices**;

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| <b>5-6</b>                              | <b>Provider Policy and Records</b> | <b>Part 2 of 2</b>           |
| <b>Authorizing Utah Code: 62a-5-103</b> | <b>Rule: R539-5-3</b>              | <b>Provider Requirements</b> |
| <b>Approved: 2/10/00</b>                | <b>Rule Effective:</b>             | <b>Printed: 5/02</b>         |
| <b>Form(s): 1-6, 520 and 1032</b>       | <b>Guideline(s): None</b>          |                              |

- O. emergency procedures for fire and disaster including a posted evacuation plan for each community living site, a quarterly training program covering evacuation procedures and documentation of quarterly evacuation drills;
  - P. copies at each community living program site of the **Department** and **Division** Code of Conduct Policies concerning abuse or neglect of **Persons** with disabilities and signed employee code of conduct statements;
  - Q. operating policies, procedures, and personnel practices.
2. The **Provider** shall orient the **Person** to be supported regarding the **Person-centered Plan** process and the involvement of the **Person** in that process;
3. Each **Provider** shall maintain the following records where applicable.
- A. A license or certification for **Community Living Support** site(s).
  - B. Documentation of compliance with zoning, life safety, health, and fire inspections as required for licensure, if appropriate.
  - C. Copies of any contracts or agreements with other agencies or professionals in the community regularly providing services through the auspices of the **Provider** to the **Person**.
  - D. Records of operational costs and revenue according to accounting principles acceptable to the **Department**.
  - E. Documentation of the supports received by each **Person** including the sponsorship of each **Person** (**Division** or private); record of payments to the **Division**; and reimbursement requests (**Forms** 520, 1032). These records must be maintained for five years from the date of discharge.
  - F. Accurate records on each **Person** shall be maintained in locked files, or otherwise secured. The records shall contain at least the items stated in Administrative Rule R539-5-1.
  - G. A provider who contracts with federal, state, county, city or other agencies to utilize community living and day training sites for which the **Provider** realizes a financial benefit shall ensure those benefits are used to benefit the **Persons** served by the **Provider**. The **Provider** shall maintain documentation of this in the **Provider** administrative fiscal record.